

# PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: **Mail** Mail Stop **ISSUE FEE**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, Virginia 22313-1450**  
**or Fax** (571) 273-2885

**INSTRUCTIONS:** This form should be used for transmitting the **ISSUE FEE** and **PUBLICATION FEE** (if required). Blocks 1 through 4 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address, and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

SUBSTITUTE FOR RESPONSE/FEES ADDRESS (Do not Legally mark-up with any corrections or see Block 7)

26161 7590 03/08/2007

**FISH & RICHARDSON P.C.**  
**P.O. Box 1022**  
**Minneapolis, MN 55440-1022**

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/758,767	01/11/2001	Steven M. Bloom	09857-454001	9662

**TITLE OF INVENTION: ARBITRAGE OF TRACKING SECURITIES**

APPLN. TYPE	SMALL ENTITY	ISSUE FEE	PUBLICATION FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1400	\$300	\$1700	06/08/2007

EXAMINER	ART UNIT	CLASS/SUBCLASS
Nguyen, Nga B.	3692	705-017000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363):

☐ If change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.

☐ If "Fee Address" indication (or "Fee Address" Indication form PTO/SB/64; Rev 01-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

1. Fish & Richardson P.C.  
 2.  
 3.

3. ASSIGNOR'S NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

**PLEASE NOTE:** Unless an assignee is identified below, no assignee data will appear on the patent. Inclusion of assignee data is only appropriate when an assignment has been previously submitted to the USPTO or is being submitted under separate cover. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNOR:

(B) RESIDENCE (CITY AND STATE OR COUNTRY)

The Nasdaq Stock Market, Inc.

Rockville, MD

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ [N] corporation or other private group entity ☐ government

4a. The following fee(s) are enclosed:

☐ [N] Issue Fee  
☐ [N] Publication Fee (No small entity discount permitted)  
☐ Advance Order - # of Copies

4b. Payment of Fees:

☐ A check to the amount of the fee(s) is enclosed.  
☐ Payment by credit card. Form 9311-2032 is attached.  
☐ [N] The Director is hereby authorized to charge the required fee(s), or credit any overpayment(s), to Deposit Account Number 06-1059 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

☐ a. Applicant claims **SMALL ENTITY** status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming **SMALL ENTITY** status. See 37 CFR 1.27(g)(2).

The Director of the USPTO is requested to apply the Issue Fee and Publication Fee (if any) or to re-apply any previously paid Issue fee to the application identified above. **NOTE:** The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant, a registered agent or, or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

(Authorized Signature)

(Date)

Typed or Printed Name: Henry G. Maloney

Registration No. 29,670

This collection of information is required by 37 CFR 1.31. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is provided by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the required application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form, and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.**

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMIT THIS FORM WITH FEES(S)